

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12071-011004	Application No.
	Applicant Lee A. Mizzen et al.		
	Filing Date February 19, 2004	Group Art Unit	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	4,918,166	04/17/1990	Kingsman et al.	530	350	
	AB	5,348,945	09/20/1994	Berberian et al.	514	21	
	AC	5,578,300	11/26/1996	Schmidt et al.	424	78.08	
	AD	5,580,563	12/03/1996	Tam	424	197	
	AE	5,599,545	02/04/1997	Stanford et al.	424	282.1	
	AF	5,750,119	05/12/1998	Srivastava	424	277.1	
	AG	5,830,464	11/03/1998	Srivastava	424	93.71	
	AH	5,948,646	09/07/1999	Srivastava	435	69.3	
	AI	5,961,979	10/05/1999	Srivastava	424	193.1	
	AJ	5,985,270	11/16/1999	Srivastava	424	93.71	
	AK	5,997,873	12/07/1999	Srivastava	424	193.1	
	AL	6,007,821	12/28/1999	Srivastava et al.	424	193.1	
	AM	6,017,540	01/25/2000	Srivastava et al.	424	193.1	
	AN	6,017,544	01/25/2000	Srivastava	424	277.1	
	AO	6,030,618	02/29/2000	Srivastava	424	184.1	
	AP	6,048,530	04/11/2000	Srivastava	424	193.1	
	AQ	6,130,087	10/10/2000	Srivastava et al.	435	372.3	
	AR	6,136,315	10/24/2000	Srivastava	424	193.1	
	AS	6,139,841	10/31/2000	Srivastava	424	193.1	
	AT	6,143,299	11/07/2000	Srivastava	424	193.1	
	AU	6,156,302	12/05/2000	Srivastava	424	93.1	
	AV	6,162,436	12/19/2000	Srivastava	424	193.1	
	AW	6,168,793	01/02/2001	Srivastava	424	193.1	
	AX	6,187,312	02/13/2001	Srivastava	424	193.1	
	AY	6,322,790	11/27/2001	Srivastava	424	193.1	
	AZ	6,335,183	01/01/2002	Young et al.	435	69.7	
	AAA	6,338,952	01/15/2002	Young et al.	435	69.7	

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Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	ABB	WO 95/31994	11/30/1995	PCT				
	ACC	WO 96/19496	06/27/1996	PCT				
	ADD	WO 96/26277	08/29/1996	PCT				
	AEE	WO 99/07860	02/18/1999	PCT				

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	AFF	Agranovsky et al., "Putative 65 kDa Protein of Beet Yellow Closterovirus Is a Homologue of HSP70 Heat Shock Proteins," J. MOL. BIOL., 217:603-610 (1991)
	AGG	Arnosti et al., "Characterization of heat shock in Bacillus subtilis," J. BACT., 168(3):1243-1249 (Dec. 1986)
	AHH	Arrigo and Welch, "Characterization and Purification of the Small 28,000-Dalton Mammalian Heat Shock Protein", J. BIOL. CHEM., 262(32):15359-15369 (1987)
	AII	Beech et al., "CD4+ Th2 cells specific for mycobacterial 65-kilodalton heat shock protein protect against pristane-induced arthritis," J. IMMUNOL. 159:3692-3697 (1997)
	AJJ	Bertelli et al., "BCG-Induced Resistance in Trypanosoma cruzi Experimental Infections," TROPENMED PARASITOL, 32:93-96 (1981)
	AKK	Birk et al., "T-cell autoimmunity in type 1 diabetes mellitus," CURR. OPIN. IMMUNOL., 5:903-909 (1993)
	ALL	Blachere et al., "Heat Shock Protein-Peptide Complexes, Reconstituted in Vitro, Elicit Peptide-specific Cytotoxic T Lymphocyte Response and Tumor Immunity," J. EXP. MED. 186(8):1315-1322 (October 20, 1997)
	AMM	Borysiewicz et al., "A recombinant vaccinia virus encoding human papillomavirus types 16 and 18, E6 and E7 proteins as immunotherapy for cervical cancer," LANCET, 347:1523-27 (1996)
	ANN	Butini et al., "Comparative Analysis of HIV-specific CTL Activity in Lymphoid Tissue and Peripheral Blood," J. CELL BIOCHEM. SUPPL. 18B Abstract J306 (1994)
	AOO	Cain and Howett, "Preventing cervical cancer," SCIENCE, 288:1753-54 (2000)
	APP	Cassell et al., "A Phase II Study on the Postsurgical Management of Stage Malignant Melanoma With a Newcastle Disease Virus Oncolysate," CANCER, 52:856-860 (Sep. 1983)
	AQQ	Cassell et al., "Viral Oncolysate in the Management of Malignant Melanoma, I. Preparation of the Oncolysate and Measurement of Immunologic Responses" CANCER, 40:672-679 (Aug. 1977)
	ARR	Catelli et al., "The common 90-kd protein component of non-transformed '8S' steroid receptors is a heat-shock protein", EMBO J., 4(12):3131-3135 (1985)

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	ASS	Chandrasekhar et al., "Purification and Properties of the groES Morphogenetic Protein of Escherichia coli", J. BIOL. CHEM., 261(26):12414-12419 (1986)
	ATT	Cohen et al., "Immunity to 60 kDa heat shock protein in autoimmune diabetes," DIAB. NUTR. METAB., 9(4):229-232 (1996)
	AUU	Cohen, "Jitters jeopardize AIDS vaccine trials," SCIENCE, 262: 980-981 (1993)
	AVV	Dahlseid et al., "PBP74, a new member of the mammalian 70-kDa heat shock protein family, is a mitochondrial protein," MOL BIOL CELL. 5(11):1265-1275 (1994)
	AWW	de Gruijl et al., "T cell proliferative responses against human papillomavirus type 16 E7 oncoprotein are most prominent in cervical intraepithelial neoplasia patients with a persistent viral infection," JOURNAL OF GENERAL VIROLOGY, 77:2183-2191 (1996)
	AXX	Del Giudice, "Hsp70: a carrier molecule with built-in adjuvanticity," EXPERIENTIA, 50:1061-1066 (1994).
	AYY	Doherty et al, Evasion of host immune responses by tumours and viruses, "Vaccines against virally induced cancers," Wiley, Chicester (Ciba Foundation Symposium 187), pp. 245-260. See page 245, Abstract
	AZZ	DuBois et al., "Isolation of a Tumor-Associated Transplantation Antigen (TATA) From an SV40-Induced Sarcoma. Resemblance to the TATA of Chemically Induced Neoplasms," INT. J. CANCER, 34:561-566 (1984)
	AAAA	Elias et al., "Induction and therapy of autoimmune diabetes in the non-obese diabetic (NOD/Lt) mouse by a 65-kDa heat shock protein," PROC. NATL. ACAD. SCI. USA, 87:1576-1580 (1990)
	ABBB	Falk et al., "Cell Mediated Immunity to Human Tumors," ARCH. SURG., 107:261-265 (Aug. 1973)
	ACCC	Flaherty et al., "Three-dimensional Structure of the ATPase Fragment of a 70K Heat-Shock Cognate Protein," NATURE 346:623-628
	ADDD	Fox, "No Winners Against AIDS", BIOTECHNOLOGY, 12:128 (1994)
	AEEE	Galloway, "Papillomavirus oncoproteins as vaccine candidates," LANCET, 347:1498-99 (1996)
	AFFF	Gomes et al., "Heat shock protein synthesis during development in Caulobacter crescentus," J. BACT., 168(2):923-930 (Nov. 1986)
	AGGG	Haanen et al., "Selection of a human T helper type 1-like T cell subset by mycobacteria," J. EXP. MED., 174:583-592 (1991)
	AHHH	Haghbin et al., "Immunotherapy with Oral BCG and Serial Immune Evaluation in Childhood Lymphoblastic Leukemia Following Three Years of Chemotherapy," CANCER, 46:2577-2586 (Dec. 1980)
	AIII	Hastie et al., "HSP27 Elevated in Mild Allergic Inflammation Protects Airway Epithelium from H2SO4 Effects," AM J. PHYSIOL., 273 (Lung Cell. Mol. Physiol. 17):L401-L409 (1997)
	AJJJ	Haynes, "Scientific and Social Issues of Human Immunodeficiency Virus Vaccine Development", SCIENCE, 260:1279-1286 (1993)

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	AKKK	Hudson et al., "Active Specific Immunotherapy for Ovarian Cancer," THE LANCET, 2:877-879 (Oct. 23, 1976)
	ALLL	Hughes et al., "A Study in Clinical Cancer Immunotherapy," CANCER, 26:269-278 (Aug. 1970)
	AMMM	Humphrey et al., "Adjuvant Immunotherapy for Melanoma," J. OF SUR. ONCOL., 25:303-305 (1984)
	ANNN	Hunt and Calderwood, "Characterization and Sequence of a Mouse hsp70 Gene and Its Expression in Mouse Cell Lines," GENE 87:199-204 (1990)
	AOOO	Huygen et al., "Spleen cell cytokine secretion in Mycobacterium bovis BCG-infected mice," INFECTION AND IMMUNITY, 60(7):2880-2886 (1992)
	APPP	Jacquier-Sarlin, "Protective effects of hsp70 in inflammation," EXPERIENTIA, 50(11-12):1031-1038 (1994)
	AQQQ	Jarecki-Black et al., "The Effect of BCG-Vaccine Upon Experimental Visceral Leishmaniasis in Hampsters," ANN. CLIN. LAB. SCI., 14:464-466 (1984)
	ARRR	Jindal, "Heat Shock Proteins: Applications in health and disease," TRENDS IN BIOTECH, 14(1):17-20, 1996
	ASSS	Jondal et al., "MHC Class I-Restricted CTL Responses to Exogenous Antigens," IMMUNITY 5:295-203 (October 1996)
	ATTT	Kaufmann et al., "Heat-shock protein 60: implications for pathogenesis of and protection against bacterial infections," IMMUNOLOGICAL REVIEWS, 121:67-90 (1991)
	AUUU	Kiessling et al., "Role of hsp60 during autoimmune and bacterial inflammation," IMMUNOLOGICAL REVIEWS, 121:91-111 (1991)
	AVVV	Kimmig and Wenk, "Suppression of Parasitaemia from Litomosoides carinii by Immunisation with BCG and Microfilariae," Z. PARASITENKD, 67:317-327 (1982)
	AWWW	La Thangue and Latchman, "A Cellular Protein Related to Heat-Shocked Protein 90 Accumulates during Herpes Simplex Virus Infection and Is Overexpressed in Transformed Cells," EXPERIMENTAL CELL RESEARCH, 178:169-179 (1988)
	AXXX	Layton et al., Induction of HIV-Specific Cytotoxic T lymphocytes In Vivo with Hybrid HIV-1 V3-Ty-Virus-Like-Particles, J. IMMUNOLOGY, 151(2):1097-1107 (Jul. 1993)
	AYYY	Leung et al., "The immunobiology of heat shock proteins," J. INVESTIG. ALLERGOL. CLIN. IMMUNOL., 1(1):23-30, (1991)
	AZZZ	Li and Srivastava, "Tumor Rejection Antigen gp96/grp94 is an ATPase: Implications for Protein Folding and Antigen Presentation," THE EMBO JOURNAL, 12(8):3143-3151 (1993)
	AAAAA	Maytin, "Heat shock proteins and molecular chaperones: implications for adaptive responses in the skin," J. INVEST. DERMATOL., 104:448-455 (1995)
	ABBBB	McCulloch et al., "Recurrent Malignant Melanoma: Effect of Adjuvant Immunotherapy on Survival," CAN. MED. ASSOC. J., 117:33-36 (Jul. 1977)
	ACCCC	Miller et al., "Immunotherapy in autoimmune diseases," CURR. OPINION IN IMMUN., 3:936-940 (1991)

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	ADDDD	Minowada et al., "Clinical implications of the stress response," J. CLIN. INVEST., 95:3-12 (1995)
	AEEEE	Moré et al., Activation of cytotoxic T cells in vitro by recombinant gp96 fusion proteins irrespective of the 'fused' antigenic peptide sequence, IMMUNOLOGY LETTERS, 69:275-282 (1999)
	AFFFF	Motal, "Glycosylphosphatidylinositol-linked Db does not induce an influenza-specific cytotoxic T lymphocyte response or recycle membrane-bound peptides," EUR. J. IMMUNOL., 25:1121-1124 (1995)
	AGGGG	Murphy and Lefford, "Host Defenses in Murine Malaria: Induction of a Protracted State of Immunity with a Formalin-Killed Plasmodium berghei Blood Parasite Vaccine," INFEC. IMMUN., 22:798-803 (1978)
	AHHHH	Murray et al., "Viral Oncolysate in the Management of Malignant Melanoma, II. Clinical Studies" CANCER, 40:680-686 (Aug. 1977)
	AIIII	Nadler et al., "Interaction of the Immunosuppressant Deoxyspergualin with a Member of the Hsp70 Family of Heat Shock Proteins," SCIENCE, 258:484-486 (1992)
	AJJJJ	Oettgen and Old, "Chapter 6: The History of Cancer Immunotherapy." IN BIOLOGIC THERAPY OF CANCER, De Vita, V.T., Hellman, S. and Rosenberg, S.A., eds., (London: J.B. Lippincott) pp. 98-103 (1991)
	AKKKK	Orme et al., "Cytokine secretion by CD4 T lymphocytes acquired in response to Mycobacterium tuberculosis infection," J. IMMUNOL., 151(1):518-525 (1993)
	ALLLL	Palladino et al., "Expression of a Shared Tumor-Specific Antigen by Two Chemically Induced BALB/c Sarcomas," CANCER RESEARCH, 47:5074-5079 (Oct. 1987)
	AMMMM	Peetermans et al., "Mycobacterial heat-shock protein 65 induces proinflammatory cytokines but does not activate human mononuclear phagocytes," SCAN. J. IMMUNOL., 39:613-617 (1994)
	ANNNN	Pinskey et al., "Intravesical Administration of Bacillus Calmette-Guerin in Patients with Recurrent Superficial Carcinoma of the Urinary Bladder: Report of a Prospective, Randomized Trial," CANCER TREAT. REP., 69:47-53 (Jan. 1985)
	AOOOO	Polla et al., "Heat shock proteins and inflammation," CURRENT TOPICS IN MICROBIOLOGY AND IMMUNOLOGY, 167:93-105 (1991)
	APPPP	Polla et al., "Regulation and functions of stress proteins in allergy and inflammation," CLINICAL AND EXPERIMENTAL ALLERGY, 23:548-556 (1993)
	AQQQQ	Polla et al., "Spontaneous heat shock protein synthesis by alveolar macrophages in interstitial lung disease associated with phagocytosis of eosinophils," EUR. RESPIR. J., 6:483-488 (1993)
	ARRRR	Rico et al., "Characterization of the Immunostimulatory Properties of Leishmania infantum HSP70 by Fusion to the Escherichia coli Maltose-Binding Protein in Normal nu/nu BALB/c Mice," Infection and Immunity 66:347-352 (January 1998)
	ASSSS	Shinnick et al., "The Etiologic Agents of Leprosy and Tuberculosis Share an Immunoreactive protein Antigen with the Vaccine Strain Mycobacterium bovis BCG", INFECT. AND IMMUN., 55(8):1932-1935 (1987)
	ATTTT	Silverstein, "The History of Immunology," IN FUNDAMENTAL IMMUNOLOGY, 2.sup.nd Edition, Paul, W.E., ed., (NY:Raven Press), pp. 21, 23-24 (1989)

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	AUUUU	Sparks et al., "Immunology and Adjuvant Chemoimmunotherapy of Breast Cancer," ARCH SURG, 111:1057-1062 (Oct. 1976)
	AVVVV	Spencer et al., "Nonspecific Protection of Mice against Influenza Virus Infection by Local or Systemic Immunization with Bacille Calmette-Guerin," J. INFECT, 171-175 (August 1977)
	AWWWW	Srivastava and Old, "Individually Distinct Transplantation Antigens of Chemically Induced Mouse Tumors," IMMUNOLOGY TODAY, 9:78-83 (Mar. 1988)
	AXXXX	Srivastava and Das, "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is Also Its Tumor-Associated Transplantation Antigen," INT. J. CANCER, 33:417-422 (1984)
	AYYYY	Srivastava and Maki, "Stress-Induced Proteins in Immune Response to Cancer," CURR. TOP. OF MICROBIOL. IMMUNOL., 167:109-123 (1991)
	AZZZZ	Srivastava et al., "Tumor Rejection Antigens of Chemically Induced Sarcomas of Inbred Mice," PROC. NATL. ACAD. SCI., USA, 83:3407-3411 (May 1986)
	AAAAAA	Sturrock et al., "Attempts to Induce Resistance to Schistosoma mansoni and S. haematobium in Kenyan Baboons (Papio anubis) Using Non-Specific Immunostimulants," PARASITOLOGY, 90:101-110 (1985)
	ABBBBB	Suto and Srivastava, "A Mechanism for the Specific Immunogenicity of Heat Shock Protein-Chaperoned Peptides," Science 269:1585-1588 (September 15, 1995)
	ACCCCC	Suzue et al., "Heat Shock Fusion Proteins as Vehicles for Antigen Delivery Into the Major Histocompatibility Complex Class I Presentation Pathway," PROC. NATL. ACAD. SCI. USA, 94:13146-13151 (Nov. 1997)
	ADDDDD	Tamura et al., "Immunotherapy of Tumors with Autologous Tumor-Derived Heat Shock Protein Preparations," SCIENCE 278:117-120 (October 3, 1997)
	AEEEE	Thole et al., "Antigenic relatedness of a strongly immunogenic 65 kDa mycobacterial protein antigen with a similarly sized ubiquitous bacterial common antigen," MICROBIAL PATHOGENESIS, 4:71-83 (1988)
	AFFFFF	Udono et al., "Cellular Requirements for Tumor-Specific Immunity Elicited by Heat Shock Proteins: Tumor Rejection Antigen gp96 Primes CD8 T Cells in vivo," PROC. NATL. ACAD. SCI. USA 91:3077-3081 (April 1994)
	AGGGGG	Udono and Srivastava, "Heat Shock Protein 70-associated Peptides Elicit Specific Cancer Immunity," J. EXP. MED., 178:1391-1396 (Oct. 1993)
	AHHHHH	Ullrich et al., "A Mouse Tumor-Specific Transplantation Antigen is a Heat Shock-Related Protein," PROC. NATL. ACAD. SCI., USA, 83:3121-3125 (May 1986)
	AIIIII	van Eden et al., "Cloning of the mycobacterial epitope recognized by T lymphocytes in adjuvant arthritis", NATURE, 331(14):171-173 (1988)
	AJJJJJ	Vignola et al., "Increased expression of heat shock protein 70 on airway cells in asthma and chronic bronchitis," AM. J. RESPIR. CELL MOL. BIOL., 13:683-691 (1995)
	AKKKKK	Voellmy et al. "Isolation and functional analysis of a human 70,000-dalton heat shock protein gene segment," PROC NATL ACAD SCI U S A. 82(15):4949-53 (1985)

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	ALLLLL	Welch et al., "Biochemical characterization of the mammalian stress proteins and identification of two stress proteins as glucose- and Ca ²⁺ -ionophore-regulated proteins," J. BIOL. CHEM., 258(11):7102-7111 (1983)
	AMMMMM	Welch and Feramisco, "Purification of the Major Mammalian Heat Shock Proteins", J. BIOL. CHEM., 257(24):14949-14959 (1982)
	ANNNNN	Welch and Feramisco, "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides", MOL. CELL. BIOL., 5(6):1229-1237 (1985)
	AOOOOO	Young et al., "Genes for the major protein antigens of the leprosy parasite mycobacterium leprae," NATURE, 316:450-452 (1985)
	APPPPP	Zhu et al., "Structural Analysis of Substrate Binding by the Molecular Chaperone DnaK," SCIENCE 272:1606-1614 (June 14, 1996)
	AQQQQQ	Zylicz et al., "The grpE Protein of Escherichia coli", J. BIOL. CHEM., 262(36):17437-17442 (1987)
	ARRRRR	Zylicz and Georgopoulos, "Purification and Properties of the Escherichia coli dnaK Replication Protein", J. BIOL. CHEM., 259(14):8820-8825 (1984)

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